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Date of Deposit August 3, 2001

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09/922028  
08/03/01

Case No. 9623/329

# PATENT APPLICATION TRANSMITTAL LETTER

To the Commissioner for Patents:

Transmitted herewith for filing is the patent application of: Dominic Cheung, Narinder Singh, Thomas A. Soulanille and Darren J. Davis  
for : SYSTEM AND METHOD FOR PROVIDING PLACE AND PRICE PROTECTION IN A SEARCH RESULT LIST GENERATED BY A  
COMPUTER NETWORK SEARCH ENGINE. Enclosed are:

- ☒ 39 sheet(s) of drawings, 105 pages of application (including title page), and the following Appendices : two identical compact discs marked COPY 1 and COPY 2 and having a CD-R appendix containing computer source code in IBM-PC format compatible with MS-Windows operating system; a list of the 23,713 files contained on the compact discs is provided in a file at the top directory level of each compact disc in a file called "dir\_s".
- ☐ Declaration.
- ☐ Power of Attorney.
- ☐ Verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27.
- ☐ Assignment transmittal letter and Assignment of the invention to : \_\_\_\_\_.
- ☒ Petition under 37 C.F.R. § 1.183 and check for \$130.00 for the petition fee under 37 CFR. § 1.17(h).

Claims as Filed	Col. 1	Col. 2
For	No. Filed	No. Extra
Basic Fee		
Total Claims	71-20	51
Indep. Claims	17-3	14
Multiple Dependent Claims Present		

\*If the difference in col. 1 is less than zero, enter "0" in col. 2.

Small Entity		or	Other Than Small Entity	
Rate	Fee		Rate	Fee
	\$ 355	or		\$ 710
x\$9=	\$459	or	x\$18=	\$900
x\$40=	\$560	or	x\$80=	\$
+\$135=	\$0	or	+\$270=	\$
Total	\$1374	or	Total	\$

- ☐ Please charge my Deposit Account No. 23-1925 in the amount of \$: \_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$: 1374 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
  - ☒ Any additional filing fees required under 37 CFR § 1.16.
  - ☒ Any patent application processing fees under 37 CFR §1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
  - ☐ Any filing fees under 37 CFR § 1.16 for presentation of extra claims.
  - ☐ Any patent application processing fees under 37 CFR § 1.17.
  - ☐ The issue fee set in 37 CFR § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR § 1.311(b).

8/3/01  
Date

John G. Rauch  
BRINKS HOFER GILSON & LIONE  
Registration No. 37,218

08-06-01

A

CD-ROM

"Express Mail" mailing label number EL920879720US

Date of Deposit: August 3, 2001

Our Case No. 9623/329

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Cheung, Dominic, et al.

Serial No. *not yet assigned*

Filing Date: August 3, 2001

For SYSTEM AND METHOD FOR  
PROVIDING PLACE AND PRICE  
PROTECTION IN A SEARCH  
RESULT LIST GENERATED BY A  
COMPUTER NETWORK SEARCH  
ENGINE

)  
)  
) Examiner *not yet assigned*

)  
) Group Art Unit No.: *not yet assigned*

**PETITION UNDER 37 C.F.R. 1.183**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Applicants respectfully request waiver of the requirement under 37 C.F.R. § 1.52(e) for including in the transmittal letter and specification of the patent application filed herewith a list of the names of the files contained on the compact disk, with other identifying information. The number of files on the enclosed disk is too great to practically include such a list.

Background

For filing electronic documents that are to become part of permanent records of the U.S. Patent and Trademark Office, 37 C.F.R. § 1.52(e) provides that such documents may be submitted on a compact disc read only memory (CD-ROM) or compact disk-recordable (CD-R). Rules are provided for format and content of the submission.

Among the information to be provided is a list of the files contained on the submitted compact discs. This information must be provided in two places when submitting a compact

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disk as part of a patent application. "The specification must contain an incorporation-by-reference of the material on the compact disc in a separate paragraph..., identifying each compact disc by the names of the files contained on each of the compact discs, their date of creation and their sizes in bytes." 37 C.F.R. § 1.52(e)(5) (2001). Further, "[t]he transmittal letter must list for each compact disc ... a list of files contained on the compact disc including their names, sizes in bytes, and dates of creation...." 37 C.F.R. § 1.52(e)(3)(ii) (2001).

Accordingly, the currently-established rules for submitting documents in electronic form on CD-ROM or CD-R require listing of the names of all files in both the patent application and transmittal letter.

### The Present Application

The present application is a continuation in part application claiming priority of a parent application filed July 24, 2001 in the names of Darren J. Davis, et al., entitled SYSTEM AND METHOD FOR INFLUENCING A POSITION ON A SEARCH RESULT LIST GENERATED BY A COMPUTER NETWORK SEARCH ENGINE, which in turn is a continuation application claiming priority of grandparent application serial number 09/322,677, issued as U.S. patent number 6,269,361 on July 31, 2001. The grandparent application was filed on May 29, 1999. The grandparent application included a source code appendix filed in microfiche format and consisting of sixty three sheets of microfiche filed with the application in accordance with US Patent and Trademark Office practice at the time. The specification of the grandparent application included an incorporation by reference of the microfiche appendix.

A source code appendix is also included with the present application. In accordance with 37 C.F.R. § 1.52(e), the source code appendix has been stored on two identical CD-R compact discs in IBM-PC format under the MS-Windows operating system. On the compact discs filed with the application, at the top directory level of each disc is a file named "dir\_s" which identifies each file on the compact disc by the names of the files, their date of creation and their sizes in bytes. Also at the top directory level of each disc is a folder named "Goto" which contains seventeen sub-folders including the files identified in the file dir\_s.

The total number of files contained on the CD-R compact disc is 23,713. The total number of bytes contained on the CD-R compact disc is 105,827,757.

The total number of files is so large that the required identifying information can not be reasonably included in the incorporation by reference in the specification of the present application or in the transmittal letter for the present application. When displayed, the file dir\_s which identifies each file on the compact disc is more than 1,000 pages long. Including such a large file in hard-copy form in the patent specification and transmittal letter would produce a patent file which is inconvenient to handle and process within the U.S. Patent and Trademark Office. Expenses for photocopying, data capture and other processing will be unduly increased both for the application and any continuation or divisional applications, and for any patents which may be granted on such applications.

Accordingly, it is proposed to include in the incorporation by reference of the specification of the present application a reference to the file dir\_s on the compact disc which identifies each file on the compact disc. The present patent application has been filed with the following incorporation by reference:

A compact disc appendix is included containing computer program code listings pursuant to 37 C.F.R. 1.52(e) and is hereby incorporated by reference in its entirety. The total number of compact discs is 1 and the files included on the compact disc are listed in a file on the compact disc entitled "dir\_s". Because of the large number of files contained on the compact disc, the required listing of file names, dates of creation and sizes in bytes is included in the file on the compact disk and incorporated by reference herein.

It is further proposed to include in the transmittal letter a reference to the file dir\_s on the compact disc which identifies each file on the compact disc. The transmittal letter for the present application includes the following information:

Enclosed are: ... two identical compact discs marked COPY 1 and COPY 2 and having a CD-R appendix containing computer source code in IBM-PC format compatible with MS-Windows operating system; a list of files contained on the compact discs is provided in a file at the top directory level of each compact disc in a file called "dir\_s"

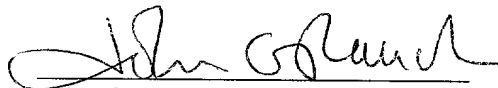
Accordingly, because of the extraordinary situation created by the large number of files -- 23,713 files -- contained on the compact discs filed with the present application, Applicants respectfully request waiver of the requirement under 37 C.F.R. § 1.52(e) for inclusion in the specification and transmittal letter of a list of files contained on each compact disc. Applicants

further request approval of the above-quoted incorporation by reference and listing of the transmittal filed with the present application in fulfillment of the requirements of 37 C.F.R. § 1.52(e).

Fee payment

A check in the amount of \$130.00 is enclosed for the Petition fee under 37 C.F.R. § 1.17(h). Any additional fee required may be charged or credit for any excess fee may be paid to Deposit Account No. 23-1925.

Respectfully submitted,



John G. Rauch  
Registration No. 37,218  
Attorney for Applicant

August 3, 2001

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200